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William F. Esser  
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Attn: Customer Service Center, Initial  
Patent Examination Division  
Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents,  
Washington, D.C. 20231

on June 29, 2001

Signature

Carolyn Bova

Re: Applicant(s): Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy  
Serial No. 09/724,803  
Filing Date: November 28, 2000  
For: DIFFRACTION GRATING FOR WAVELENGTH DIVISION  
MULTIPLEXING/DEMULTIPLEXING DEVICES  
Docket No.: 34013-28PT

Dear Sir:

Transmitted for filing with the Patent and Trademark Office are the following documents for the above-referenced patent application:

1. Response to Notice to File Missing Parts of Application
2. Copy of Notice to File Missing Parts of Application
3. Oath or Declaration
4. Petition for Extension of Time - Two Months
5. Checks in the amount of \$2,185 and \$195
6. Request to Correct Official Filing Receipt, with redlined attachment
7. Acknowledgment Postcard

Please address all communications related to this to:

William F. Esser, Esq.  
Jenkins & Gilchrist, P.C.  
1445 Ross Avenue, Suite 3200  
Dallas, Texas 75202-2799

In the event there is an under or over payment, please debit or credit our Deposit Account #10-0447.

Respectfully submitted,

William F. Esser  
Registration No. 38,053

WFE:cmb



#4

**PATENT APPLICATION**  
Docket No.34013-28PT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of: Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy

Serial No.: 09/724,803

Filed: November 28, 2000

For: **DIFFRACTION GRATING FOR WAVELENGTH DIVISION  
MULTIPLEXING/DEMULTIPLEXING DEVICES**

Attn: Customer Service Center, Initial Patent  
Examination Division  
To The Honorable Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the  
United States Postal Service as first class mail in an envelope addressed  
to:  
Commissioner for Patents,  
Washington, D.C. 20231  
on June 29, 2001  
*Carolyn Bova*  
Signature Carolyn Bova

Dear Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts mailed by the Application Branch on  
March 15, 2001, you will find enclosed a Declaration and Power of Attorney duly executed by  
the inventor(s) on May 11, 2001, June 2, 2001, and March 28, 2001, respectively.

A check in the amount of \$2,185.00 is enclosed for the application fee and the surcharge  
as set forth in 37 CFR 1.16(e). Please note that Applicant claims the benefit of Small Entity  
Status.

**PATENT APPLICATION**  
Docket No.34013-28PT

It is respectfully submitted that no additional parts are required to be filed with regard to the above-referenced application, and the application should therefore be processed accordingly.

Respectfully submitted,

JENKENS & GILCHRIST,  
A Professional Corporation



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William F. Esser  
Registration No. 38,053

1445 Ross Avenue, Suite 3200  
Dallas, Texas 75202-2799  
214/855-4181  
214/855-4300 FAX

#4



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/724,803	11/28/2000	Gregory G. Cappiello	34013-00028USPT

Jenkins & Gilchrist PC  
3200 Fountain Place  
1445 Ross Avenue  
Dallas, TX 75202-2799

## FORMALITIES LETTER



\*OC000000005866991\*

Date Mailed: 03/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$3530.
  - \$2250 for 125 total claims over 20.
  - \$1280 for 16 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 4370.

07/09/2001 JADD01 00000076 09724803

01 FC:201  
02 FC:202  
03 FC:203  
04 FC:205

355.00 OP  
640.00 OP  
1125.00 OP  
65.00 OP

A copy of this notice **MUST** be returned with the reply.

*A. Monro*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

\* DOCKETED  
Int: *DA* DT: *3-22-01*

Action: *Missing Parts due 5-15-01*




#5-  
Patent Application  
Docket No. 34013-28PT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Cappiello, et al. )  
Serial No.: 09/724,803 ) Examiner: Unknown  
Filed: November 28, 2000 ) Group Art Unit: 2874

For: DIFFRACTION GRATING FOR WAVELENGTH DIVISION  
MULTIPLEXING/DEMULTIPLEXING DEVICES

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

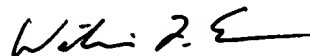
CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited postage paid with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231	
on June 29	- 2001
	
Signature	Carolyn Bova

**REQUEST TO CORRECT OFFICIAL FILING RECEIPT**

Please make the corrections marked in red on the attached copy of the corrected Official Filing Receipt received in the above-identified application, and send a Corrected Filing Receipt to the undersigned attorney. Please note that Inventor Cappiello has changed his residence address since the filing of the application.

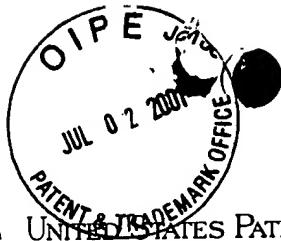
It is believed that no fee is due for this correction; however, should there be a fee, please charge our Deposit Account. #10-0447.

Respectfully submitted,



William F. Esser  
Reg. No. 38,053

Jenkins & Gilchrist, P.C.  
1445 Ross Avenue, Suite 3200  
Dallas, Texas 75202-2799  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/724,803	11/28/2000	2874	0	34013-00028USPT	12	145	19

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MAR 21 2001

JENKENS &amp; GILCHRIST

## FILING RECEIPT



\*OC000000005866990\*

Date Mailed: 03/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Gregory G. Cappiello, ~~Lexington, MA~~; WINDHAM, NH  
Mikhail N. Sokolskiy, St. Petersburg, RUSSIAN FEDERATION;  
Robert H. Dueck, Santa Ana, CA ;

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/208,478 06/02/2000  
~~RND~~ ~~WHICH CLAIMS BENEFIT OF 60/208,482 06/02/2000~~  
~~RND~~ ~~WHICH CLAIMS BENEFIT OF 60/208,477 06/02/2000~~

## Foreign Applications

\* DOCKETED  
Int: RH DT: 3-22-01

Action Complete Date: 3-21  
Filing Receipt w/NMP

## Title

Diffraction grating for wavelength division multiplexing/demultiplexing devices

## Preliminary Class

385

Data entry by : MONROE, BEULAH

Team : OIPE

Date: 03/15/2001

